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Date June 24, 2005 Client-Matter 74622-074

Fax Transmittal

Total Pages (Including Cover) 3

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## Message

Re: Inventor : Kitty C. Chen  
 Serial No. : 10/060,305  
 Filing Date : February 1, 2002  
 Title : METHOD AND SYSTEM FOR PROVIDING AN AGGREGATED  
 STOCK OPTIONS REPORT  
 Att'y Docket : 74622-074

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969 3413 if you have any questions.

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Under the Paperwork Reduction Project of 1995, no forms are required to be filed with this form.

## STATEMENT UNDER 37 CFR 3.75(b)

Applicant/Patent Owner: Kitty C. Chen, et al.Applicant's/Patent No.: 10/080,906 Filing Date: February 1, 2002entitled: SYSTEM AND METHOD FOR DETERMINING AN ANTICIPATED STOCK OPTIONS REPORTName of Assignee: UBS Financial Services, Inc. a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest or
2. ☐ an assignee of less than the entire right, title and interest.  
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in the patent application/patent identified above by virtue of either:

- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_ Frame \_\_\_\_\_ or for which a copy thereof is attached.

OR

- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

[Signature]  
Signature

6/22/05  
Date

Gregory Goldman  
Printed or Typed Name

203 719 3088  
Telephone Number

Director and Senior Counsel, UBS Financial Services, Inc.  
Title

This collection of information is required by 37 CFR 3.75(b). The information is required to obtain or retain a patent by the public which is to be filed by the USPTO in accordance with the provisions of 37 CFR 3.75(b). This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the complexity of the information. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1488, Alexandria, VA 22313-1488. DO NOT SEND FORMS TO THE USPTO. FORMS TO THIS AGENCY. U.S. Patent and Trademark Office, P.O. Box 1488, Alexandria, VA 22313-1488.

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